

08/07/01

1042 U.S. PTO

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Approved for use through 09/30/2000 OMB 0651-0032  
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCEUTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No. Harvatek-9030

First Inventor or Application Identifier Bily WANG

Title LED Focusing Cup in a Stacked Substrate

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification (Total Pages 6)  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) (Total Sheets 13)
4. Oath or Declaration (Total Pages 2)
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☒ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☒ Small Entity Statement filed in prior application, (PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: \_\_\_\_\_

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_
- Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

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or ☒ Correspondence address below

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Signature

Hung Chang Lin

Date Aug. 2, 2001

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0002/PTO  
Rev. 10/95

U.S. Department of Commerce  
Patent and Trademark Office

# FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT (\$) 395.00

## Complete If Known

Application Number	
Filing Date	
First Named Inventor	Bily WANG
Group Art Unit	
Examiner Name	
Attorney Docket Number	Harvatek 9030

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.116 and 1.117 ☐ Charge the issue Fee Set in 37 CFR 1.118 at the Meeting of the Notice of Allowance, 37 CFR 1.311(b)
2. ☒ Payment Enclosed:
- ☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION (fees effective 10/01/95)

1. FILING FEE			
Large Fee Code (\$)	Entry Fee Code (\$)	Small Fee Code (\$)	Fee Description
101 750	201 375		Utility filing fee
106 310	206 155		Design filing fee
107 510	207 255		Plant filing fee
108 750	208 375		Reissue filing fee
114 150	214 75		Provisional filing fee
SUBTOTAL (1) (\$)			355

2. CLAIMS			
Total Claims	- 20 =	Extra	Fee from below
Independent Claims	- 3 =		
Multiple Dependent Claims			

2. CLAIMS			
Large Fee Code (\$)	Entry Fee Code (\$)	Small Fee Code (\$)	Fee Description
103 22	203 11		Claims in excess of 20
102 78	202 39		Independent claims in excess of 3
104 250	204 125		Multiple dependent claim
109 78	209 39		Reissue independent claims over original patent
110 22	210 11		Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)			

## FEE CALCULATION (continued)

3. ADDITIONAL FEES			
Large Fee Code (\$)	Entry Fee Code (\$)	Small Fee Code (\$)	Fee Description
105 130	205 65		Surcharge - late filing fee or oath
127 50	227 25		Surcharge - late provisional filing fee or cover sheet
138 130	139 130		Non-English specification
147 2,390	147 2,390		For filing a request for reconsideration
112 670	112 670		Requesting publication of SIR prior to Examiner action
113 1,740	113 1,740		Requesting publication of SIR after Examiner action
115 110	215 55		Extension for response within first month
116 380	216 190		Extension for response within second month
117 900	217 450		Extension for response within third month
118 1,400	218 700		Extension for response within fourth month
119 290	219 145		Notice of Appeal
120 290	220 145		Filing a brief in support of an appeal
121 250	221 125		Request for oral hearing
138 1,430	138 1,430		Petition to institute a public use proceeding
140 110	240 55		Petition to revive unavailability abandoned application
141 1,250	241 625		Petition to revive unintentionally abandoned application
142 1,250	242 625		Utility issue fee (or reissue)
143 430	243 215		Design issue fee
144 630	244 315		Plant issue fee
122 130	122 130		Petitions to the Commissioner
123 50	123 50		Petitions related to provisional applications
126 220	126 220		Submission of Information Disclosure Sheet
581 40	581 40		Recording each patent assignment per property (times number of properties)
146 750	246 375		Filing a submission after final rejection (37 CFR 1.129(a))
149 750	249 375		For each additional invention to be examined (37 CFR 1.129(b))
Other fee (specify)			
Other fee (specify)			
SUBTOTAL (3) (\$)			40

\* Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Typed or Printed Name	Hung Chang LIN	Complete If applicable	
Signature	Hung Chang Lin	Reg. Number	28,789
		Date	8/2/01
		Deposit Account User ID	

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